

2024 FALL ROUND NEW GRANTEE TRAINING Session 2

February 21, 2025

www.nbrc.gov

HOUSEKEEPING REMINDERS



We are recording today's training session.



Please keep your microphone muted during the training unless you are asking a question during the Q&A.

Cameras are optional.



yourselves! Use the chat to share your name, organization and NBRC Grant Project Name and # Please use the chat function to share any technical issues you may be having or grant related questions you have



We have plenty of time for Question and Answer scheduled.



The detailed

PowerPoint will

be available to

you after the

training session

along with all the

resources

discussed.

Topics for today's session:

- Overview of the NBRC grant lifecycle
- Review of the negotiation process in the GMS
- Obligation of Funds
- Reviewing and Accepting the Grant Agreement
- Next steps to obtain a Partial or Full Notice to Proceed
- Role of LDDs
- Overview of NEPA review process (environmental review)
 - Register for the New Grantee Training Session 2 for a deep dive on the NEPA review process! (February 26, from 1:30-3PM EST)
- Overview of Build America Buy America Act
 - Register for the New Grantee Training Session 3 for a deep dive on BABAA (March 5 from 1-2pm EST)



NBRC GRANT LIFECYCLE

<u>Pre-Award</u>: Program Announcements, Preapplication Phase, Application Phase, Project Selection

<u>Project Initiation</u>: Notice of Award, Obligation of Federal Funds, New Grantee Training, LDD Contract, Documentation for Grant Agreement.
Executed Grant Agreement

Notice to Proceed: Partial Notice to Proceed for LDD Costs and or NEPA Environmental Review. *Full Notice to Proceed*

<u>Project Implementation</u>: Quarterly Progress Reports, Reimbursements, Annual reporting

<u>Project Closeout</u>: Documentation, 3-year post award reporting

<u>Pre-Award</u>: Program Announcements, Preapplication Phase, Application Phase, Project Selection

Award Process & Project Initiation

Notice to Proceed: Partial Notice to Proceed for LDD and NEPA (Environmental Review) Full Notice to Proceed

Project Implementation: Quarterly Progress Reports, Reimbursements, Annual reporting

<u>Project Closeout</u>: Documentation, 3-year post award reporting







January 24, 2025

AUTHORIZED OFFICIAL

RE: AP-NBRC-XXX — ORGANIZATION's Application to the Catalyst Program Fall 2024

Dear AO:

On behalf of Governor and the Northern Border Regional Commission (NBRC), we congratulate you and your organization for receiving a Catalyst Program Fall 2024 grant award! You have been awarded \$500,000.00.

Please read this letter carefully for required actions and information to secure this award, with detailed instructions beginning on page 2.

- Register for mandatory new grantee training sessions by January 31, 2025
- Submit your organization's banking information by February 7, 2025
- Complete required document revisions by February 14, 2025

This award of grant shall constitute an obligation to make such grant. Such obligation may be terminated without further cause, however, if the grantee shall fail to respond, provide requested information, or miss deadlines.

By submitting your revisions and completing the Negotiations within the GMS, you are acknowledging the requirements of the NBRC award as identified in this award letter.

While you have been awarded a grant, these funds are not available until you have received a Notice to Proceed (NTP) or Partial Notice to Proceed (PNTP) from NBRC. Award and matching funds spent or committed before receiving a NTP or PNTP are not eligible for reimbursement or to be counted as matching funds. Additionally, spending funds before receiving a NTP or PNTP could result in NBRC reducing or rescinding your award. Failure to timely respond to NBRC's requests may result in the award being rescinded. Please refer to NBRC's Grant Administration and Compliance Manual on the Grant Administration page of our website for details on required information to secure a NTP.

We wish you great success with your project and look forward to working with you,



Chris Saunders, Federal Co-Chair, NBRC

Step 1. Notice of Award

NBRC notifies all successful entities of their award with a letter. The award letter includes:

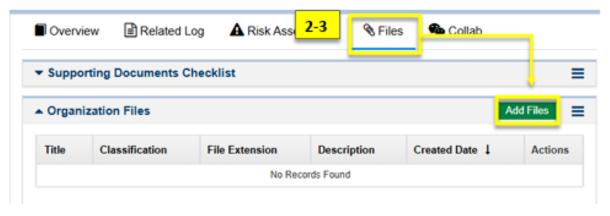
- Award amount
- Required actions
 - ✓ New Grantee Training session (you're here!)
 - Banking information
 - Required document revisions
- Award acknowledgement statement
- □ Award letter is NOT a Notice to Proceed. A NTP or PNTP is required before spending or committing award funds or match and cost share funds

Step 2. Negotiations & Required Actions

Banking information

- □ ACH Banking Form (SF-3881)
 uploaded to organization account in GMS
- Requires signature from financial institution's Authorized Official (*not* the NBRC Authorized Official)
- GMS Grantee Toolkit for instructions to complete this task (page 6)

STEP 2: Complete the ACH Banking Form and upload to your organization account in the GMS by February 7, 2025. Failure to respond by this date or notify NBRC of the need for additional time to complete this step may result in the award being rescinded. An executed copy of this form, signed by the financial institution's Authorized Official (not the NBRC project AO), is required for NBRC to disburse the funds for your award. The GMS Grantee Toolkit provides step-by-step instructions to complete this action.



4. Upload your executed SF-3881 ACH form

Step 2. Negotiations & Required Actions Cont'd

Required document revisions:

- This is required to have a complete and correct application and associated Grant record.
- Detailed revisions contained in a bulleted list in Step 3, for example:
 - AO, AOR and missing AO signatures
 - Revised budget documents
 - Revised forms or supporting docs

STEP 3: Complete the required revisions to your application, forms, and/or supporting documents in the Grants Management System (GMS) by February 14, 2025. Failure to respond by this date or notify NBRC of the need for additional time to complete this step may result in the award being rescinded. Only the Authorized Official will be able to see the requested revisions in the GMS and submit the completed revisions back to NBRC. The GMS Grantee Toolkit provides step-by-step instructions to complete the required revisions in the GMS, and the first new grantee training will cover this step in detail. Please do not send documents to NBRC outside of the GMS.

2.2. Completing Required Document Revisions

Refer to your award letter for specific details about which items need revision. You will have received a pending task to complete this step.

- Navigate to the application record
- 2. Review requirements laid out in award letter. You can go to the Collab tab to view your uploaded award letter.
- 3. Review any additional requirements in the Revisions tab



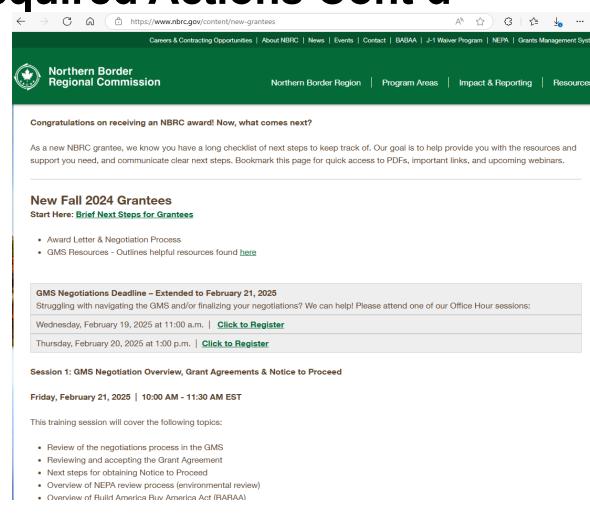
 If you have any additional items to complete, these will be laid out in the "Explanation of Revisions Needed" section

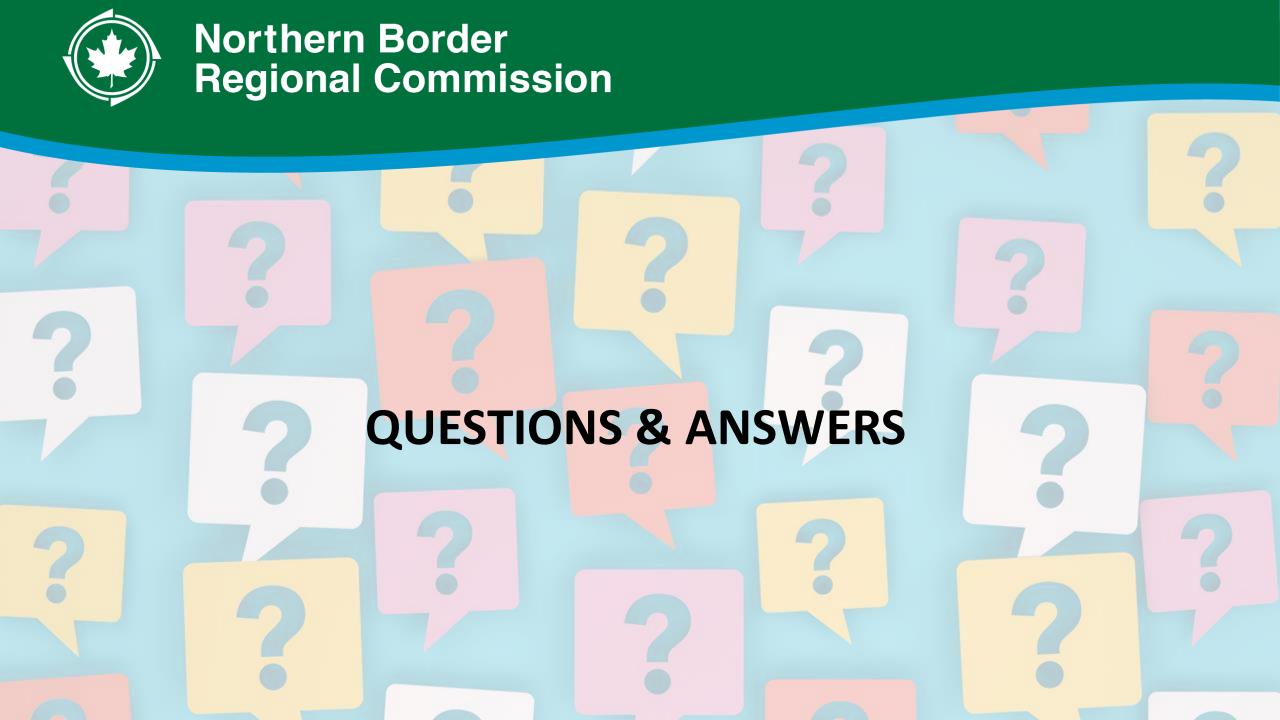


Step 2. Negotiations & Required Actions Cont'd

Resources:

- GMS Grantee Toolkit for instructions for "Completing Required Document Revisions" (section 2.2)
- Negotiations Office Hours slides and recordings from 2/19-2/20/25
- If you have a revision in the list that you do not understand, please contact NBRC through the Collab tab email function in the Application file. **Be sure to send email to admin@nbrc.gov







Step 3: Obligation of Federal Funds

Grantee submits the SF-3881 ACH Form

- NBRC requests the obligation of federal funds
- NBRC will send an email confirmation in Collab tab notifying grantee of obligation date.
- No NBRC funds can be reimbursed for costs prior to the obligation date.
- After obligation, grantees should work with LDD to execute contract for grant administration services. NBRC allows LDD costs to be reimbursed beginning with the obligation date.
- LDDs are a resource for grantees to support the Notice to Proceed process
- Obligation does not authorize a grantee to begin spending project funds. A notice to proceed is required to commit or expend any project funds (NBRC and match/cost share)

LDD Assistance

- All Catalyst Program awards require the use of a Local Development District (LDD) for grant administration.
 - ✓ Exception for state government entities, LDDs, or LDD waiver from preapplication
- Forest Economy and Timber for Transit applicants have the option to utilize LDD assistance.
- LDDs are compensated for grant administrative work.
 - Based on the formula of 2% of the NBRC requested amount

LDD Assistance

NBRC defines grant administration as:

- Notice to Proceed Documentation
- Quarterly and Annual Reporting
- Reimbursement Requests
- Final Reporting
- Contract Amendments
- General Assistance

... basically, most of the administrative work AFTER an award is made.



About Local Development Districts

What is an LDD?

The NBRC Federal-State partnership is aided by a group of regional organizations called Local Development Districts (LDDs) that assist the NBRC in its outreach activities and administer NBRC investments for grantees. LDDs are either an already existing federally designated Economic Development District, as certified by the US Economic Development Administration, or an organization similar in nature to a regional planning commission.

What is the Role of an LDD?

LDDs are knowledgeable about other Federal and State programs that help fund economic and community development projects. They are aware of local concerns as most engage in regional economic development planning of varying degrees. LDDs provide feedback to the Commission on its current programs as well as assist in identifying future areas of focus for the Commission.

Each Catalyst Program (SEID & IIJA) award is required to utilize an LDD for grant administration assistance unless they are an agency of State government, an LDD, or have requested and received an LDD waiver approval from NBRC during the preapplication stage of the Catalyst Program.

LDDs are compensated for their grant administration services through a reimbursement process with the grantee. The grant administration fee for all NBRC awards of \$400,000 or less is \$8,000. The grant administration fee for all NBRC awards above \$400,000 is based on the formula of 2% of the NBRC requested amount. LDD grant administration costs are an eligible NBRC cost for an amount not to exceed the formula. If grant administration assistance is beyond the total available under the formula, those must be paid for with matching funds. Grant administration duties include assisting with quarterly reporting, reimbursement requests, final reporting, contract amendments, and general guidance (see Role of the LDD occument for more details).

- Notice to Proceed Documentation: Help the grantee upload their LDD contract in the GMS, assist with getting the PNTP for LDD costs in place and submitting their matching funds documentation.
- Quarterly and Annual Reporting: Ensure that the grantee files all quarterly and annual reports accurately and on time, and with enough information to provide a meaningful outline of the project's status

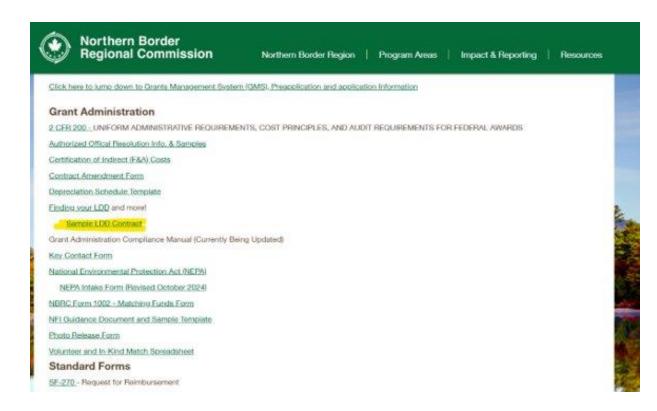
LDD Assistance

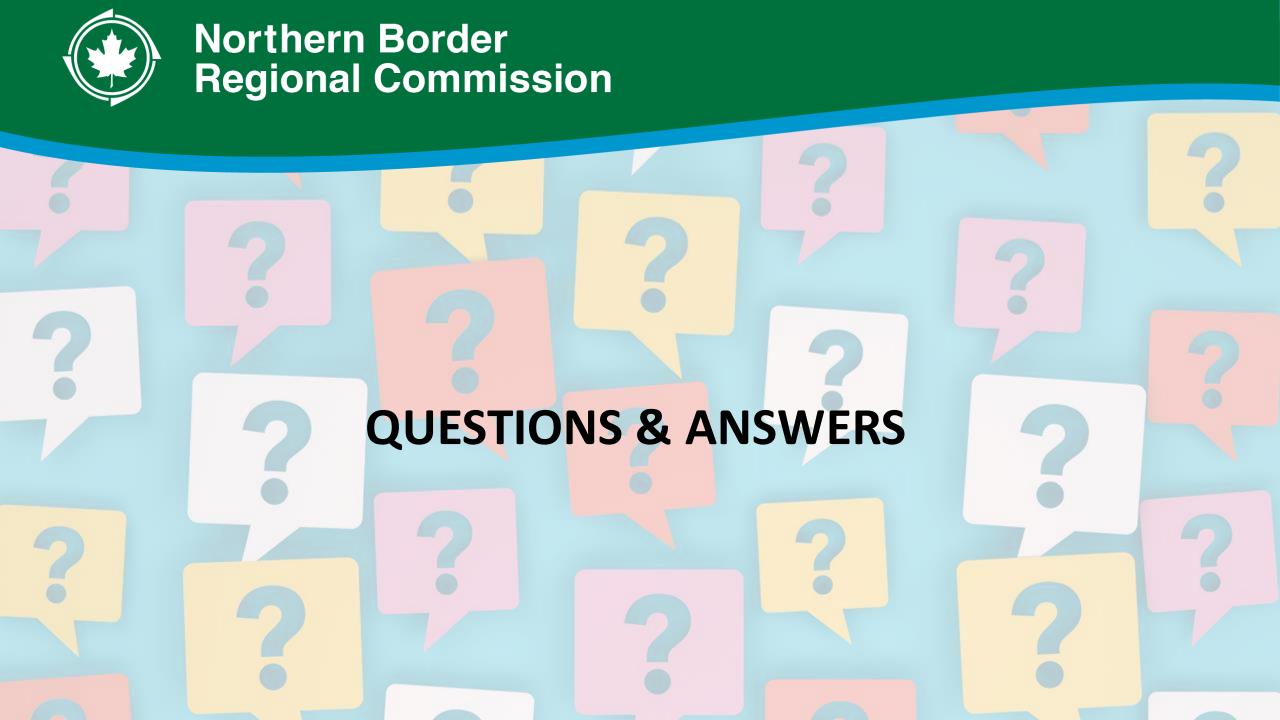
Why it is important to connect (early) with your LDD:

- LDDs have experience in administering NBRC grant awards
- Engaging your LDD early will save you time (and money!)

LDD Resources:

- Sample contract
- About LDDs webpage
- Program Overview Series part 4 on LDDs







Step 4: Grant Agreement

The Grant Agreement

- Grant Agreements are issued once required negotiations are complete and obligation of funds is confirmed.
- NBRC will issue a Grant Agreement for review and acceptance. By accepting the Grant Agreement, you are concurring with the information laid out and agreeing to the terms, conditions, and administrative requirements set forth within the agreement.
- Review the Grant Agreement carefully to make sure all information on pages 1 and 2 is correct.
 If information in the agreement is incorrect or needs to be amended, click Reject > Yes > Add
 your comments and click OK. NBRC will work with you to correct the information and return an
 amended award for you to review.
- If you have questions regarding the content of the Grant Agreement beyond pages 1 and 2, please reach out to NBRC at admin@nbrc.gov.
- The GMS Grantee Toolkit is available to walk you through steps to accepting the GA

Grant Agreements include:

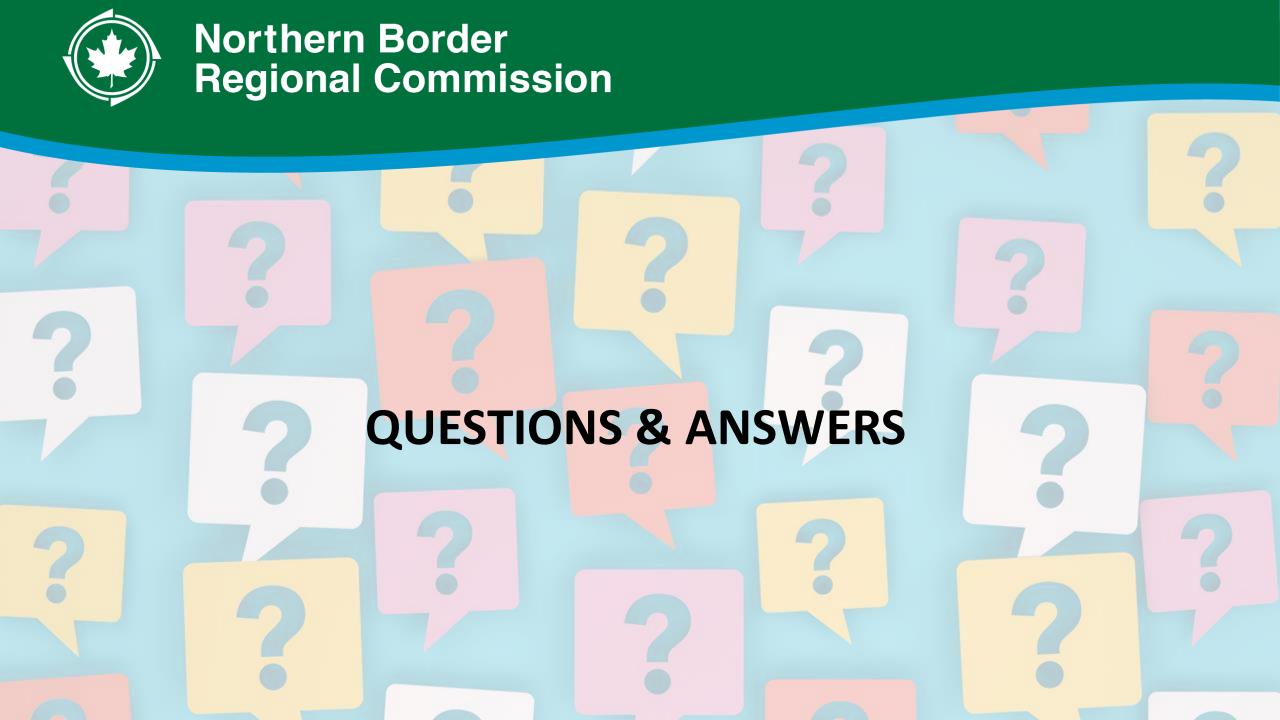
- NBRC Grant ID. This number must be included in all documentation and emails that are sent to the States or NBRC offices. Example: GT-CAT-00000
- Contact information for both the grantee and NBRC. Changes to primary contacts or authorized official require grantee to submit the <u>Key Contacts Form</u> and an updated Authorized Official Resolution (AOR) to NBRC.
- Period of Performance. This is the start and end date of the project to be completed. 2024 Fall Round Catalyst Grants March 1, 2025 – September 30, 2028.
- Grant Amount. The NBRC grant amount cannot be increased for any reason.
- Required Match/Cost share. This is the amount of other funds necessary to complete the project as presented. This information must be documented during the project period.

Grant Agreements include:

- Reimbursement Rate. This is the ratio of requested NBRC funds to expended match/cost share funds. Typically, the Reimbursement rate is 80% or 50%. Look closely to be sure this is correct.
- Indirect Cost Rate. The standard de minimis rate of 15% will apply unless the grantee submitted a Negotiated Indirect Cost Rate Agreement at time of application.
- **Budget.** Line items of expenditures. These line items may not be changed by the recipient without prior written approval by NBRC (2 CFR 200.308).
- **Grant Provisions.** Laws and agreements that a grantee is required to follow as part of the contract with a federal awarding agency. Including Build America, Buy America Act (BABAA)

Grant Agreements include:

- **Real Estate and/or Equipment.** The contract will state if the project consists of real estate or equipment purchases.
- **Sub-recipients (If applicable).** This will include an outline of those funds that will be sub-awarded to organizations or entities that are not the recipient.
- The Grant Agreement is not approval to expend funds. A Notice to Proceed must be issued to expend any funds include match/cost share.



<u>Pre-Award</u>: Catalyst Program Announcement, LOI Phase, Application Phase, Project Selection

> <u>Project Initiation</u>: Notice of Award, Obligation of Federal Funds, New Grantee Training, LDD Contract, Documentation for Grant Agreement. Executed Grant Agreement

Notice to Proceed

Project Implementation: Quarterly Progress Reports, Reimbursements, Annual reporting

<u>Project Closeout</u>: Documentation, 3-year post award reporting

Requirements for Notice to Proceed

Once the Grant Agreement is accepted, there are a few more requirements before NBRC can issue a Notice to Proceed for the project to begin spending the NBRC award and match funds.

- LDD Contract
- Partial Notice to Proceed (PNTP) (if needed)
- Form 1002 Certification of Match Commitment
- NEPA Evaluation and Approval

^{*}some projects may be required to file a Notice of Federal Interest prior to submitting reimbursements. The NTP is not contingent on the NFI, but reimbursements are.



Step 5: Partial Notice to Proceed (PNTP) - if needed

Partial Notice to Proceed for LDD and/or NEPA Costs

- LDD Grant Administration Costs
 - ➤ Up to 50% of budgeted LDD total allowed under a PNTP
 - > Requires an executed LDD contract (if applicable)
- NEPA Costs
 - > Requires documentation of scope, budget and timeline
- See NBRC's Grant Administration & Compliance Manual for more information



Step 6: Securing Match/Cost Share

Grantees submit documentation of committed match/cost share to NBRC:

- NBRC Form 1002
- Letters of commitment from match/cost share choices
- Match must be secured within first 12 months of grant agreement

Resources: Documentation to secure Match and Cost Share

- NBRC's webpage → Resources→Forms & Grant Administration Materials
- NBRC's Grant Administration and Compliance Manual for additional guidance on the documentation needed to secure a Notice to Proceed.



Step 7: National Environmental Policy Act (NEPA)

NBRC coordinates NEPA review, analysis and guidance with our environmental consultant

- Review NEPA intake form, application and application support documents determine what level of NEPA review is needed
- NBRC notifies grantee of what NEPA documentation needs to be completed and submitted.
 - Once guidance on the level of review has been provided to the grantee they can determine if a Partial Notice to Proceed (PNTP) is needed
 - If NEPA costs were not budgeted for or adjustments to budget are needed, that will require an amendment be requested
- Grantee provides NEPA documentation to NBRC

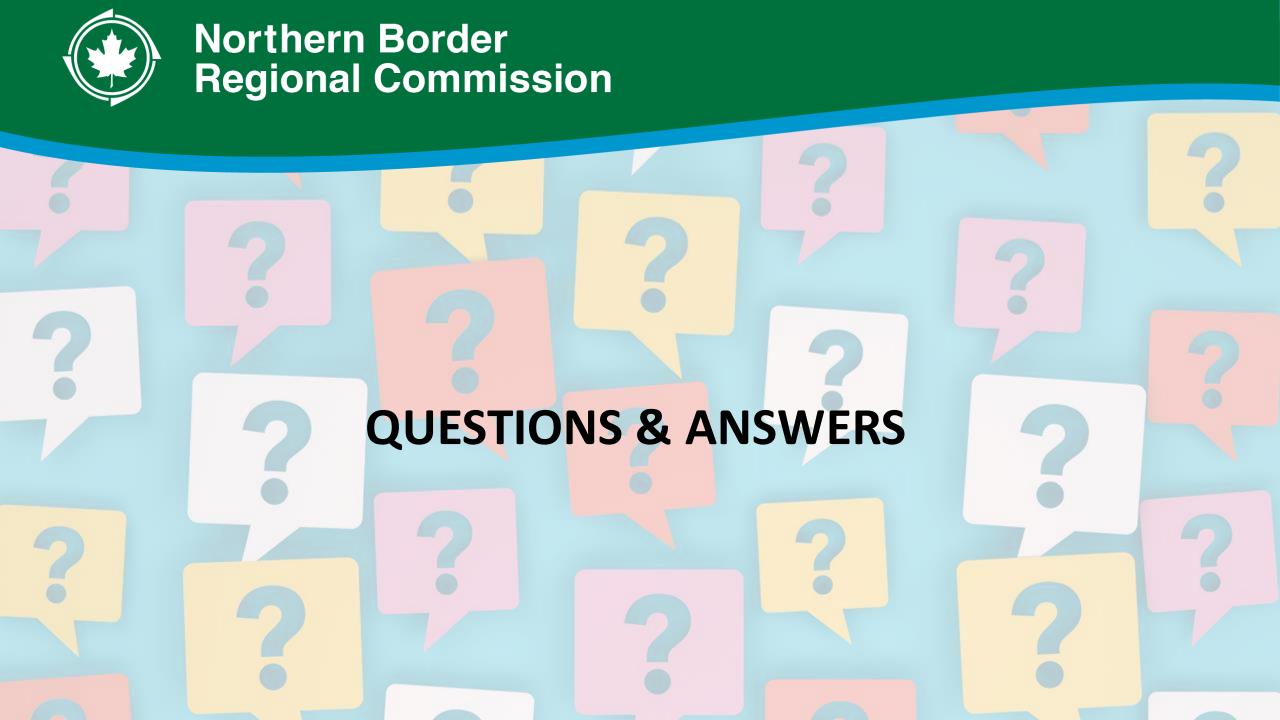


Notice to Proceed

The following items MUST be in place to receive a Notice to Proceed:

- Obligation of funding
- Executed Grant Agreement
- LDD grant administration services contract
- Documentation of committed match/cost share to complete project
- NEPA satisfied
- NBRC issues the project a Notice to Proceed for their records

The date of the Notice to Proceed is the official 'ok' to begin all project related activities





Overview of National Environmental Policy (NEPA)

www.nbrc.gov

What is NEPA?

- National Environmental Policy Act (NEPA) 1970
 - Promote the protection, preservation, and enhancement of the environment.
 - Growing concerns about the environmental impacts of large-scale development projects
- Purpose:
 - Requires federal agencies to consider the environmental impacts of their actions and decisions <u>before</u> they act.
- NEPA does not dictate an agency's decisions or actions.

What triggers NEPA?

 Federal agencies must consider the potential impacts of major federal actions and reasonable alternatives on the human environment

 Major Federal Actions – Activities that are undertaken, <u>funded</u>, authorized, or approved by a federal agency

NEPA applies to NBRC-funded projects

Understanding NEPA Implementation Across Federal Agencies

- 1. Varied Implementation: Each federal agency implements the NEPA differently.
- 2. Agency-Specific Procedures: Agencies are required to adhere to their own NEPA procedures and guidelines.
- 3. Example: USDA vs. NBRC:
- USDA Experience: A project categorized as a CATEX under USDA regulations.
- NBRC Regulations: The same project may not be considered a CATEX under NBRC regulations.
- **4. Takeaway:** Experience with NEPA procedures in one agency does not guarantee the same outcomes in another agency.

Levels of NEPA analysis

Level 1: Categorical Exclusion (CATEX) The project is pre-determined by the federal agency not to have a significant impact on the human environment.

Level 2: Environmental Assessment (EA): The project impact is unknown or does not have a reasonably foreseeable significant effect on the quality of the human environment.

Level 3: Environmental Impact Statement (EIS): The project has a reasonably foreseeable significant effect on the quality of the human environment.

Categorical Exclusion (CATEX)

- Renovations/Replacement
 - Do not change the functional use of property
- Demolition
 - (non NRHP eligible structures)
- Additions
 - (on adjacent disturbed land)
- Acquisition and installation of equipment
- Small new construction projects
 - (on previously disturbed land)

Environmental Assessment (EA)

- Renovations
 - (that change function use of property)
- Demolition
 - On NRHP places or eligible places
- Additions
 - (on undisturbed lands)
- Larger new construction



National Environmental Policy Act (NEPA)

NEPA applies to all NBRC-funded projects

- Categorical Exclusion (CATEX)
 - Brief review
 - typically <1 month to develop
 - no public comment period unless another federal requirement is triggered



National Environmental Policy Act (NEPA)

NEPA applies to all NBRC-funded projects

- Environmental Assessment (EA)
 - Robust review
 - Requires contracting with a consultant who understands NEPA
 - Typically 6-12 months to develop and finalize
 - 30-day public comment period

National Environmental Policy Act (NEPA) Training Session

- The NEPA dedicated training session will cover the following topics:
 - NEPA as an umbrella state covering other federal requirements (i.e., Section 106, Section 7, Floodplains, etc.)
 - NEPA Analysis and Impacts on Human Environment
 - Making a NEPA Determination for a project
 - CATEX
 - Additional Federal Requirements
 - Environmental Assessment (EA)
 - Opportunities for NBRC to adopt NEPA done by another federal funder (same project/scope)
 - Environmental Assessment Process
 - Budgets and Timelines

National Environmental Policy Act (NEPA) Resources

NBRC's NEPA Resources

- Fall 2024 New Grantee Training Session dedicated to NEPA
- Environmental Assessment (EA) Guidance
- Environmental Assessment and Notice of Availability Templates
- Prior NEPA training sessions
- www.nbrc.gov/content/NEPA



Overview of Build America Buy America Act (BABAA)

www.nbrc.gov

Build America, Buy America Act (BABAA)

- "None of the funds made available for a Federal financial assistance program for infrastructure...may be obligated for a project unless all of the iron, steel, manufactured products, and construction materials used in the project are produced in the United States."
- Applies to all federal financial assistance projects for infrastructure.
- Applies to an entire infrastructure project, even if it is funded by both Federal and non-Federal funds under one or more awards.
- "Project" means any activity related to the construction, alteration, maintenance, or repair of infrastructure in the U.S.
- "Infrastructure" includes:
 - Rehabilitation of buildings and real property
 - dams, ports, harbors and other maritime facilities
 - Water systems (drinking water and wastewater)
 - Construction and improvements of roads, highways, bridges
 - Utility installation and broadband infrastructure improvements



What Products Are Covered?

The following products used in covered infrastructure projects MUST be produced in the United States:

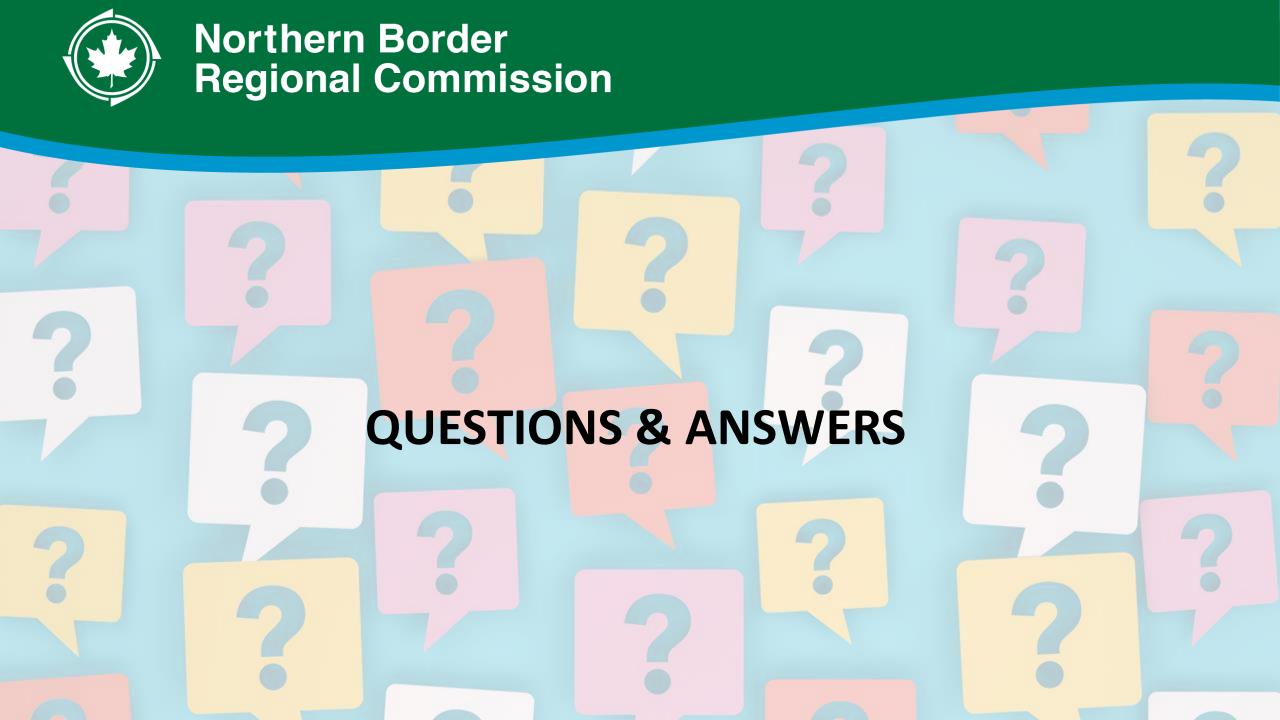
- Iron and Steel
 - All manufacturing processes from initial melting through application of coating occurred in the U.S.
- Construction Materials
 - All manufacturing processes for the construction material occurred in the U.S.
- Manufactured Products
 - Product manufactured in the U.S.
 - The cost of the components of the manufactured product that are mined, produced, or manufactured in the U.S. is greater than 55% of the total cost of all components of the manufactured product

Build America Buy America Act (BABAA) Training Session

- The March 5th training session will cover the following topics:
 - Compliance
 - Compliance Roles for Manufacturers, Contractors, Grantees and NBRC
 - Product Compliance
 - Waivers, What they are and how to apply.
 - De Minimis
 - Small Award
 - Minor Components
 - Project/product specific waivers
 - Timelines

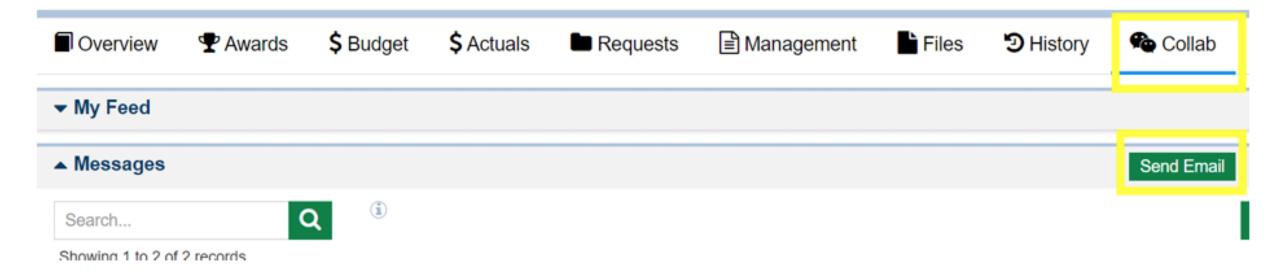
Build America Buy America Act (BABAA) Resources

- OMB BABAA Guidance Memo; M-24-02; https://www.whitehouse.gov/wp-content/uploads/2023/10/M-24-02-Buy-America-Implementation-Guidance-Update.pdf
- OMB Final Guidance 2 CFR 184; https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-184
 - Definitions of key terms
 - Discusses determining the costs of components for manufactured products
 - Additional construction materials added
- NBRC website; <u>www.nbrc.gov/content/BABAA</u>
- NBRC email; <u>admin@nbrc.gov</u>
- OMB/ MIAO Website: <u>www.madeinamerica.gov</u>



USING THE COLLAB TAB

- Please DO NOT use the "My Feed" feature. NBRC is not notified.
- Send messages by navigating to the Collab Tab → Messages → "Send Email" to admin@nbrc.gov
- See the GMS Grantee Toolkit section 1.5 "Using the Collab Tab"



UPCOMING TRAINING SESSIONS

Register for New Grantee Training Sessions:

- Session 1: GMS Negotiation Overview, Grant Agreements & Notice to Proceed (February 21 from 10-11:30AM EST)
- Session 2: National Environmental Policy Act (NEPA) (February 26, from 1:30-3PM EST)
- Session 3: Build America Buy America Act (March 5 from 1-2pm EST)



GRANTEE RESOURCES

GMS Grantee Toolkit

- Locating records
- Uploading files and Completing revisions
- Using the Collab tab for communication with NBRC
- Support on next award phases including grant agreements

Grant Administration Compliance Manual

- Details on award process and project initiation activities
- Next award phases including grant agreements and notice to proceeds
- Guidance on procurement, reporting, reimbursements, and more...

www.nbrc.gov/content/administration



GRANTEE RESOURCES

Forms & Guidance

- NBRC Resources website contains many forms
- GMS Supporting Documents Checklist contains forms and files to download, complete and upload

Human Support

- NBRC Staff Please use the Collab Tab of the GMS application record for NBRC staff support.
- State Program Managers –<u>ME</u>, <u>NH</u>, <u>VT</u>, <u>NY</u>
- Your <u>Local Development District</u>

www.nbrc.gov/content/administration

Congratulations again and thank you for your time today!

We look forward to partnering with you toward successful completion of your projects!

www.nbrc.gov



NBRC Grant Administration Resources, Programmatic Key Terms and Staff Information

www.nbrc.gov

Grant Administration Resources

Other Resources:

- <u>2 CFR Part 200 Requirements for Federal Awards</u>
- 40 USC Subtitle V. Regional Economic and Infrastructure Development
- National Environmental Protection Act (NEPA) https://www.nbrc.gov/content/NEPA
- Build America Buy America Act (BABAA)

Key Terms

- **Period of Performance**: this is the start and end date of the project to be completed for the grant agreement between grantee and NBRC. Your executed grant agreement will indicate your project's performance period.
- NBRC Grant Amount: The grant amount cannot be increased for any reason. Overruns on projects are the responsibility of the grantee
- Required Match/Cost Share: This is the amount of other funds necessary to complete your project and that must be documented during the project period

Key Terms

- Indirect Cost Rate: This is the approved rate that has been agreed upon by the grantee and their Federal Cognizant Agency for indirect costs. All invoices must use this rate for their invoices when specific services as outlined are performed by the grantee. This is NOT a rate to be used by any subcontractor or consultant
- **Budget:** Line items of expenditures. These line items may not be changed by the recipient without prior written approval by NBRC (2 CFR 200.308)
- **Grant Provisions:** The laws and agreements that a grantee is required to follow as part of the contract with a federal awarding agency

NBRC Staff

- Chris Saunders, Federal Co-Chair
- Sarah Waring, Executive Director
- Molly Taflas, Deputy Executive Director
- Andrea Smith, Program Director
- William Gallagher, Administrative Officer
- Marina Bowie, Program Manager, Forest Economy, Timber for Transit & USDA
- Adrianne Harrison, Program Manager, Catalyst

Meet the NBRC Staff

- Elizabeth "Liz" Cross, Rural Healthcare Coordinator
- Casey Haynes, Program Coordinator
- Sarah Lang, Capacity Program Coordinator
- Jon O'Rourke, Senior Program Specialist
- Georgia Cassimatis, Program Specialist
- Malana Tamer, Program Specialist
- Lissa Harris, Program Specialist
- Ace Arroyo, Data Analyst



Meet the NBRC Staff

- Alison Richard, Marketing Coordinator
- Rebecca Dourmashkin, Grant Attorney
- Rebecca Olechowski, Budget Anaylyst